

Article 3. Application Procedures**87218 APPLICATION FOR LICENSE****87218**

- (a) Any individual, firm, partnership, association, corporation or governmental entity desiring to obtain a license shall file with the licensing agency a verified application on forms furnished by the licensing agency. For renewal applications, the information submitted on the previous application shall be verified and updated where appropriate. The licensee shall cooperate with the licensing agency in providing verification and/or documentation as requested by the licensing agency. The application and supporting documents shall contain the following:
- (1) Name or proposed name and address of facility.
 - (2) Name and address of the applicant and a copy of the certificate of completion by the applicant of an approved certification program as specified in Section 87730.
 - (A) This section shall apply to all applications for license, unless the applicant has a current license for another residential care facility for the elderly which was initially licensed prior to July 1, 1989 or has successfully completed an approved certification program within the prior five years.
 - (B) If the applicant is a firm, partnership, association, or corporation, the chief executive officer or person serving in a like capacity or the designated administrator of the facility shall meet the requirements of this section.
 - (3) If the applicant is a partnership, the name, signature and principal business address of each partner.
 - (4) If the applicant is a corporation or association, the name, title and principal business address of each officer and member of the governing board. The application shall be signed by the chief executive officer or authorized representative. In addition, a copy of the Articles of Incorporation, Constitution and By-laws, and the name and address of each person owning more than 10 percent of stock in the corporation shall be provided.
 - (5) Procedures as required pursuant to Section 1569.175 of the Health and Safety Code.

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- (A) Health and Safety Code Section 1569.175 provides:
- (a) In addition to any other requirements of this chapter, any residential care facility for the elderly providing residential care for six or fewer persons at which the owner does not reside shall provide a procedure approved by the licensing agency for immediate response to incidents and complaints. This procedure shall include a method of assuring that the owner, licensee, or person designated by the owner or licensee is notified of the incident, that the owner, licensee, or person designated by the owner or licensee has personally investigated the matter, and that the person making the complaint or reporting the incident has received a response of action taken or a reason why no action needs to be taken.
 - (b) In order to assure the opportunity for complaints to be made directly to the owner, licensee, or person designated by the owner or licensee, and to provide the opportunity for the owner, licensee, or person designated by the owner or licensee to meet residents and learn of problems in the neighborhood, any facility with a nonresident owner shall establish a fixed time on a weekly basis when the owner, licensee, or person designated by the owner or licensee will be present.
 - (c) Facilities with nonresident owners shall establish procedures to comply with the requirements of this section on or before July 1, 1987.

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- (6) Name and address of owner of facility premises if applicant is leasing or renting.
- (7) The category of facility to be operated.
- (8) Maximum number to be served.

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- (9) Name of Administrator and, if other than the applicant, verification of registration in or a copy of the certificate of completion of an approved certification program.
- (A) Individuals employed as an administrator prior to December 30, 1992, if other than the applicant, shall be allowed to provide verification of registration in an approved certification program which will be completed on or before December 30, 1992.
- (B) Administrators who have a valid license as a nursing home administrator are exempted from the requirement for certification.

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- (10) Copy of the current organizational chart showing type and number of positions and line of authority. However, facilities for less than sixteen persons may furnish, in lieu of an organization chart, a list of positions and the periods of time that persons in these positions will be providing services at the facility.
- (11) Evidence pursuant to Health and Safety Code, Section 1569.15(b).

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Evidence satisfactory to the licensing agency that the applicant is of reputable and responsible character. If the applicant is a firm, association, organization, partnership, business trust, corporation or company, like evidence as to the members or shareholders and the person who will be in charge of the community care facility.

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- (12) A financial plan of operation on forms provided or approved by the Department. Start-up funds shall be sufficient to meet a minimum of three (3) months operating costs. In addition:
 - (A) Where construction is anticipated to meet the requirements for a license, sufficient financing for the construction shall be available.
 - (B) The scope of the applicant's services shall be such that an adequate quality of service will be permitted from available funds. The licensing agency shall have the right to verify the availability of these funds.
- (13) In the case of a change of licensee of a licensed facility, the required documentation specified in Section 87227(f).

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- (14) Information concerning insurance carried by the applicant relating to the operation of the facility.
 - (15) Plan of Operation as specified in Section 87222.
 - (16) The fee for processing the application or renewal for the requested capacity as specified in Section 87224.
 - (17) Name, address and telephone number of the city or county fire department, the district providing fire protection services, or the State Fire Marshal's Office having jurisdiction in the area where the facility is located.
 - (18) Such other information as may be required by the licensing agency for the proper administration and enforcement of the licensing law and regulations.
- (b) An application shall be filed with the licensing agency which serves the area in which the facility is located.

NOTE: Authority cited: Sections 1569.18 and 1569.30, Health and Safety Code. Reference: Sections 1569.1, 1569.2, 1569.23(e) and (f), 1569.5, 1569.10, 1569.15, 1569.151, 1569.16, 1569.17, 1569.175, 1569.18, 1569.19, 1569.20, 1569.21, 1569.22, 1569.23, 1569.24, 1569.30, 1569.312, 1569.45, 1569.60, 1569.615 and 1569.62, Health and Safety Code.

87219 CRIMINAL RECORD CLEARANCE 87219

- (a) The licensing agency shall conduct a criminal record review of all persons specified in Health and Safety Code Section 1569.17 and shall have the authority to approve or deny a facility license, or employment, residence, or presence in the facility, based upon the results of such review.

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- (1) Section 1569.17(a) of the Health and Safety Code provides in part:

Before issuing a license to any person or persons to operate or manage a residential care facility for the elderly, the department shall secure from an appropriate law enforcement agency a criminal record to determine whether the applicant or any other person specified in subdivision (b) has ever been convicted of a crime other than a minor traffic violation, or arrested for any crime specified in Section 290 of the Penal Code or arrested for violating Section 245, 273.5 subdivision (b) of Section 273a, or prior to January 1, 1994, paragraph (2) of Section 273a of the Penal Code, or for any crime for which the department cannot grant an exemption if the person was convicted and the person has not been exonerated. That criminal history information shall include the full criminal record, if any, of those persons. If it is found that the applicant or any other person specified in subdivision (b) has been convicted of a crime, other than a minor traffic violation, the Department of Justice shall notify the California Department of Social Services of that fact and the application shall be denied, unless the director grants an exemption pursuant to subdivision (f).

- (2) Section 1569.17(b) of the Health and Safety Code provides in part:

In addition to the applicant, the provisions of this section shall be applicable to criminal convictions of the following persons:

- (A) Adults responsible for administration or direct supervision of staff.
- (B) Any person, other than a client, residing in the facility.
- (C) Any person who provides client assistance in dressing, grooming, bathing, or personal hygiene.
- (D) Any staff person or employee who has frequent and routine contact with the clients. In determining who has frequent contact, any volunteer who is in the facility shall be exempt unless the volunteer is used to replace or supplement staff in providing direct care and supervision of clients. In determining who has routine contact, staff and employees under direct on-site supervision and who are not providing direct care and supervision or who have only occasional or intermittent contact with shall be exempt.

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- (E) If the applicant is a firm, partnership, association, or corporation, the chief executive officer or other person serving in like capacity.
 - (F) Additional officers of the governing body of the applicant, or other persons with a financial interest in the applicant, as determined necessary by the department by regulation. The criteria used in the development of these regulations shall be based on the person's capability to exercise substantial influence over the operation of the facility.
- (3) Section 1569.17(e) of the Health and Safety Code provides in part:

The California Department of Social Services shall not use a record of arrest to deny, revoke, or terminate any application, license, employment, or residence unless the department investigates the incident and secures evidence, whether or not related to the incident or arrest, that is admissible in an administrative hearing to establish conduct by the person that may pose a risk to the health and safety of any person who is or may become a client.

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- (b) A fingerprint clearance shall be received by the licensing agency on all persons subject to criminal record review prior to issuing a license.

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- (1) Section 1569.17(g) of the Health and Safety Code states:
- (A) For the purposes of compliance with this section, the department may permit an individual to transfer a current criminal records clearance, as defined in subdivision (a), from one facility to another, as long as the criminal record clearance has been processed through a state licensing district office, and is being transferred to another state licensing district office.
 - (B) The California Department of Social Services shall hold criminal records clearances in its active files for a minimum of two years after an employee is no longer employed at a licensed facility in order for the criminal records clearances to be transferred.

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87219 CRIMINAL RECORD CLEARANCE (Continued)**87219**

- (c) All persons subject to criminal record review shall, prior to employment, residence, or initial presence in the facility be fingerprinted and sign a statement regarding prior criminal convictions as specified in Section 87565(f).
- (1) If the signed statement indicates a conviction for any crime other than a minor traffic violation for which the fine was \$50 or less, the licensee shall immediately notify the licensing agency and the licensing agency will take appropriate action as specified in Section 87219(e).
- (2) Completed fingerprint card(s) shall be submitted to the Department of Justice within 20 days following employment, residence, or initial presence in the facility.

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- (A) Section 1569.17(c)(2) of the Health and Safety Code provides in part:

These fingerprints shall be on a card provided by the California Department of Social Services for the purpose of obtaining a permanent set of fingerprints. Fingerprints not submitted to the Department of Justice, as required in this section, shall result in the citation of a deficiency and the fingerprints shall then be submitted to the California Department of Social Services for processing.

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- (d) In determining whether individuals must submit fingerprint card(s) as specified in Health and Safety Code Section 1569.17(c), the licensing agency shall consider the following:
- (1) Anticipated type and degree of contact with the clients.
 - (2) Supervision received by the employee or volunteer.
 - (3) Duties of the employee or volunteer.
 - (4) Whether the facility constitutes the legal residence or the place an adult, other than the client, lives the majority of the time.
- (e) If the criminal record transcript of any of the persons specified in Health and Safety Code Section 1569.17(b) discloses a plea or verdict of guilty or a conviction following a plea of nolo contendere for any crime other than a minor traffic violation for which the fine for \$50 or less, before April 5, 1984 or pursuant to paragraph (1) subdivision (a) of Section 42001 of the Vehicle Code after April 4, 1984, the licensing agency shall take the actions specified in Health and Safety Code Section 1569.17(c).
- (1) If the signed statement indicates that the person has been convicted of a crime other than a minor traffic violation for which the fine was \$50 or less, the licensing agency shall take the same actions as would be taken in 1569.17(c) if a criminal record transcript had been received.

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- (2) Section 1569.17(c)(4) of the Health and Safety Code provides in part:

If it is determined by the California Department of Social Services on the basis of the fingerprints submitted to the Department of Justice, that the person has been convicted of a sex offense against a minor, or has been convicted for an offense specified in Section 243.4, 273a or 273d, or subdivision (a) or (b) of Section 368 of the Penal Code, or has been convicted of a felony, the California Department of Social Services shall notify the licensee in writing within 15 calendar days of receipt of the notification from the Department of Justice to act immediately to terminate the person's employment, remove the person from the residential care facility for the elderly, or bar the person from entering the residential community care facility. The California Department of Social Services may subsequently grant an exemption pursuant to subdivision (f).

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87219 CRIMINAL RECORD CLEARANCE (Continued)

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(A) Section 243.4 of the Penal Code provides in part:

1. Any person who touches an intimate part of another person while that person is unlawfully restrained by the accused or an accomplice, and if the touching is against the will of the person touched and is for the purpose of sexual arousal, gratification, or abuse, is guilty of sexual battery. Such an act is punishable by either imprisonment in the county jail for not more than one year or in the state prison for two, three, or four years.
2. Any person who touches an intimate part of another person who is institutionalized for medical treatment and who is seriously disabled or medically incapacitated, if the touching is against the will of the person touched, and if the touching is for the purpose of sexual arousal, gratification, or abuse, is guilty of sexual battery. Such an act is punishable by either imprisonment in the county jail for not more than one year or in the state prison for two, three, or four years.

(B) Section 273a of the Penal Code provides:

1. Any person who, under circumstances or conditions likely to produce great bodily harm or death, willfully causes or permits any child to suffer or inflicts thereon unjustifiable physical pain or mental suffering or having the care or custody of any child, willfully causes or permits the person or health of such child to be injured, or willfully causes or permits such child to be placed in such situation that its person or health is endangered, is punishable by imprisonment in the county jail not to exceed one year, or in the state prison for 2, 3, or 4 years.

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2. Any person who, under circumstances or conditions other than those likely to produce great bodily harm or death, willfully causes or permits any child to suffer, or inflicts thereon unjustifiable physical pain or mental suffering, or having the care or custody of any child, willfully causes or permits such child to be injured, or willfully causes or permits such child to be placed in such situation that its person or health may be endangered, is guilty of a misdemeanor.

(C) Section 273d of the Penal Code provides:

1. Any person who willfully inflicts upon any child cruel or inhuman corporal punishment or injury resulting in a traumatic condition is guilty of a felony, and upon conviction thereof shall be punished by imprisonment in the state prison for 2, 4, or 6 years, or in the county jail for not more than one year, or by a fine of up to six thousand dollars (\$6,000) or by both.

(D) Section 368 of the Penal Code provides:

1. Any person who, under circumstances or conditions likely to produce great bodily harm or death, willfully causes or permits any elder or dependent adult, with knowledge that he or she is an elder or a dependent adult, to suffer, or inflicts thereon unjustifiable physical pain or mental suffering, or having the care or custody of any elder or dependent adult, willfully causes or permits the person or health of the elder or dependent adult to be injured, or willfully causes or permits the elder or dependent adult to be placed in a situation such that his or her person or health is endangered, is punishable by imprisonment in the county jail not exceeding one year, or in the state prison for two, three, or four years.

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2. Any person who, under circumstances or conditions other than those likely to produce great bodily harm or death, willfully causes or permits any elder or dependent adult, with knowledge that he or she is an elder or a dependent adult, to suffer, or inflicts thereon unjustifiable physical pain or mental suffering, or having the care or custody of any elder or dependent adult, willfully causes or permits the person or health of the elder or dependent adult to be injured or willfully causes or permits the elder or dependent adult to be placed in a situation such that his or her person or health may be endangered, is guilty of a misdemeanor.
- (3) Section 1569.17(c) of the Health and Safety Code provides in part:
- (A) If the conviction was for another crime, except a minor traffic violation, the licensee shall, upon notification by the California Department of Social Services, act immediately to either (1) terminate the person's employment, remove the person from the residential care facility for the elderly, or bar the person from entering the community care facility; (2) seek an exemption pursuant to subdivision (g). The department shall determine if the person shall be allowed to remain in the facility until a decision on the exemption is rendered by the department.
 - (B) Concurrently with notifying the licensee pursuant to paragraph (3), the department shall notify the affected individual of his or her right to seek an exemption pursuant to subdivision (f). The individual may seek an exemption only if the licensee terminates the person's employment or removes the person from the facility after receiving notice from the department pursuant to paragraph (3).

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- (f) If the criminal record transcript of any of the persons specified in Health and Safety Code Section 1569.17(b) discloses a plea or verdict of guilty or a conviction following a plea of nolo contendere for any crime other than a minor traffic violation for which the fine was \$50 or less before April 5, 1984, or pursuant to paragraph (1) subdivision (a) of Section 42001 of the Vehicle Code after April 4, 1984, and an exemption pursuant to Section 87219(g), has not been granted, the licensing agency shall take the following actions:
- (1) For initial applicants, denial of the application.

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- (2) For current licensees, institution of legal remedies, including but not limited to revocation of the license.
- (3) For current or prospective employees, denial of the application or revocation of the application or revocation of the license if the person continues to provide services and/or reside at the facility.
- (4) For convicted persons residing in the facility including spouses of the applicant, licensee, or employee, denial of the application or revocation of the license if the person continues to provide services and/or reside at the facility.

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- (A) Section 1569.17(h) of the Health and Safety Code provides:

If a licensee or facility is required by law to deny employment or to terminate employment of any employee based on written notification from the state department that the employee has a prior criminal conviction or is determined unsuitable for employment under Section 1569.58, the licensee or facility shall not incur civil liability or unemployment insurance liability as a result of that denial or termination.

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- (g) After a review of the criminal record transcript, except for the crimes specified in Health and Safety Code Section 1569.17(e), the licensing agency or the Department shall have the authority to grant an exemption from (f) above. Exemption requests from the applicant/licensee shall be in writing and present evidence satisfactory to the Department or licensing agency that the subject individual has been rehabilitated and presently is of such good character as to justify the issuance of the license or the provision of service in the facility.

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- (1) The licensing agency shall have the authority to consider factors including but not limited to the following as evidence of good character and rehabilitation:
- (A) The nature of the crime.
 - (B) Period of time since the crime was committed and number of offenses.
 - (C) Circumstances surrounding the commission of the crime that would demonstrate the unlikelihood of repetition.
 - (D) Activities since conviction, such as employment or participation in therapy or education, that would indicate changed behavior.
 - (E) Granting by the Governor of a full and unconditional pardon.
 - (F) Character references.
 - (G) A certificate of rehabilitation from a superior court.

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- (2) Section 1569.17(f) of the Health and Safety Code provides in part:

However, no exemption shall be granted pursuant to this subdivision if the conviction was for an offense specified in Section 220, 243.4, 264.1, or subdivision (a) of Section 273a, or prior to January 1, 1994, paragraph (1) of subdivision (a) of Section 273a or Section 273d or Section 288 or 289, or subdivision (a) or (b) of Section 368 of the Penal Code, or was a conviction of another crime against an individual specified in subdivision (c) of Section 667.5 of the Penal Code. The director shall notify in writing the licensee or the applicant of his or her decision within 60 days of receipt of all information from the applicant and other sources determined necessary by the director for the rendering of a decision pursuant to this subdivision.

- (A) Section 667.5(c) of the Penal Code provides in part:

For the purpose of this section, "violent felony" shall mean any of the following:

1. Murder or voluntary manslaughter.
2. Mayhem.
3. Rape as defined in subdivision (2) of Section 261.
4. Sodomy by force, violence, duress, menace, or fear of immediate and unlawful bodily injury on the victim or another person.
5. Oral copulation by force, violence, duress, menace, or fear of immediate and unlawful bodily injury on the victim or another person.
6. Lewd acts on a child under 14 as defined in Section 288.
7. Any felony punishable by death or imprisonment in the state prison for life.

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8. Any felony in which the defendant inflicts great bodily injury on any person other than an accomplice which has been charged and proved as provided in Section 12022.7 or 12022.9 on or after July 1, 1977, or as specified prior to July 1, 1977, in Sections 213, 264, and 451, or any felony in which the defendant uses a firearm which use has been charged and proved as provided in Section 12022.5 or 12022.55.
9. Any robbery perpetrated in an inhabited dwelling house or trailer coach, as defined in the Vehicle Code, or in the inhabited portion of any other building, wherein it is charged and proved that the defendant personally used a deadly or dangerous weapon, as provided in subdivision (b) of Section 12022, in the commission of that robbery.
10. Arson, in violation of subdivision (a) of Section 451.
11. The offense defined in subdivision (a) of Section 289 where the act is accomplished against the victim's will by force, violence, duress, menace, or fear of immediate and unlawful bodily injury on the victim or another person.
12. Attempted murder.

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(h) The reasons for any exemption granted shall be in writing and kept by the licensing agency.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Section 1569.17, Health and Safety Code; and Section 42001, Vehicle Code.

87220 FIRE CLEARANCE**87220**

- (a) All facilities shall maintain a fire clearance approved by the city or county fire department, the district providing fire protection services, or the State Fire Marshal. Prior to accepting any of the following types of persons, the applicant or licensee shall notify the licensing agency and obtain an appropriate fire clearance, approved by the city or county fire department, the district providing fire protection services, or the State Fire Marshal, through the licensing agency:
- (1) Persons over 65 years of age.
 - (2) Nonambulatory persons.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569.2, 1569.30 and 1569.312, Health and Safety Code.

87222 PLAN OF OPERATION**87222**

- (a) Each facility shall have and maintain a current, written definitive plan of operation. The plan and related materials shall be on file in the facility and shall be submitted to the licensing agency with the license application. Any significant changes in the plan of operation which would affect the services to residents shall be submitted to the licensing agency for approval. The plan and related materials shall contain the following:
- (1) Statement of purposes and program goals.
 - (2) A copy of the Admission Agreement, containing basic and optional services.
 - (3) Statement of admission policies and procedures regarding acceptance of persons for services.
 - (4) Administrative organization.
 - (5) Staffing plan, qualifications and duties.
 - (6) Plan for training of staff, as required by Section 87510.

87222 PLAN OF OPERATION (Continued)**87222**

- (7) A sketch of the building(s) to be occupied, including a floor plan which describes the capacities of the buildings for the uses intended, a designation of the rooms to be used for nonambulatory residents, and a sketch of the grounds showing buildings, driveways, fences, storage areas, pools, gardens, recreation area and other space used by the residents. All sketches shall show dimensions.
- (8) Transportation arrangements for persons served who do not have independent arrangements.
- (9) A statement whether or not the applicant will handle residents' money and/or valuables. If money and/or valuables will be handled, the method for safeguarding pursuant to Sections 87225, 87226 and 87227.
- (10) A statement of the facility's policy concerning family visits and other communication with clients, as specified in Health and Safety Code Section 1569.313.

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- (A) Section 1569.313 of the Health and Safety Code provides that:

This policy shall be designed to encourage regular family involvement with the client and shall provide ample opportunities for family participation in activities at the facility.

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NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569.15, 1569.157, 1569.175, 1569.2, 1569.30, 1569.31, 1569.312 and 1569.313, Health and Safety Code; and Section 11006.9, Welfare and Institutions Code.

87223 DISASTER AND MASS CASUALTY PLAN**87223**

- (a) Each facility shall have a disaster and mass casualty plan of action. The plan shall be in writing and shall be readily available.
- (b) The plan shall be subject to review by the Department and shall include:
 - (1) Designation of administrative authority and staff assignments.
 - (2) Plan for evacuation including:
 - (A) Fire safety plan.
 - (B) Means of exiting.
 - (C) Transportation arrangements.
 - (D) Relocation sites which are equipped to provide safe temporary accommodations for residents.
 - (E) Supervision of residents during evacuation or relocation and contact after relocation to assure that relocation has been completed as planned.
 - (F) Means of contacting local agencies such as fire department, law enforcement agencies, civil defense and other disaster authorities.
 - (3) Provision for notifying a resident's hospice agency, if any, in the event of evacuation and/or relocation.
- (c) Emergency exiting plans and telephone numbers shall be posted.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569.1, 1569.2, 1569.31, 1569.312, and 13131, Health and Safety Code.

87224 APPLICATION/RENEWAL PROCESSING FEES**87224**

- (a) Except for facilities operated by public agencies, an applicant or a licensee shall be charged a fee for processing the application or renewal.
- (b) The fee shall be charged at the time of initial and renewal application.
- (1) The fee charged at initial application shall be according to requested capacity as follows:

<u>Capacity</u>	<u>Original Application</u>
1 - 6	\$100
7 - 15	150
16 - 49	200
50 +	250

- (2) The fee charged at renewal application shall be according to existing licensed capacity unless the licensee requests a lower or higher capacity. The fee schedule shall be as follows:

<u>Capacity</u>	<u>Renewal Application</u>
1 - 6	\$100
7 - 15	150
16 - 49	200
50 +	250

- (c) No additional fee shall be charged when the licensee requests an increase in capacity during a licensing period.
- (d) When a licensee moves a facility from one location to another, the application/renewal processing fee shall be as follows:

<u>Capacity</u>	<u>Relocation</u>
1 - 6	\$ 50
7 - 15	75
16 - 49	100
50 +	125

87224	APPLICATION/RENEWAL PROCESSING FEES (Continued)	87224
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- (1) To receive the reduced fee the following shall apply:
- (A) The licensee shall have notified the licensing agency before actually relocating the facility.
 - (B) The categorical type of facility shall remain the same when relocating the facility.
 - (C) The fee shall be by requested capacity at the new location.
- (e) The application/renewal processing fee shall be nonrefundable.

NOTE: Authority cited: Sections 1569.18 and 1569.30, Health and Safety Code. Reference: Sections 1569.18 and 1569.19, Health and Safety Code.

87225	COMMINGLING OF MONEY	87225
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Money and valuables of residents entrusted to the licensee of one community care facility licensed under a particular license number shall not be commingled with those of another residential care facility for the elderly of a different license number, regardless of joint ownership.

NOTE: Authority cited: Section 1530, Health and Safety Code. Reference: Sections 1501, 1530, 1531, 1560, and 1561, Health and Safety Code.

87226	BONDING	87226
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- (a) Each licensee, other than a county, who is entrusted to safeguard resident cash resources, shall file or have on file with the licensing agency a copy of a bond issued by a surety company to the State of California as principal.

87226 BONDING (Continued)**87226**

- (1) The amount of the bond shall be in accordance with the following schedule:

Total Safeguarded Per Month	Bond Required
\$750 or less	\$1,000
\$751 to \$1,500.	\$2,000
\$1,501 to \$2,500	\$3,000

Every further increment of \$1,000 or fraction thereof shall require an additional \$1,000 on the bond.

- (b) Whenever the licensing agency determines that the amount of the bond is insufficient to adequately protect the money of residents, or whenever the amount of any bond is impaired by any recovery against the bond, the licensing agency may require the licensee to file an additional bond in such amount as the licensing agency determines to be necessary to adequately protect the residents' money.
- (c) Each application for a license or renewal of license shall be accompanied by an affidavit on a form provided by the licensing agency. The affidavit shall state whether the applicant/licensee will be entrusted/is entrusted to safeguard or control cash resources of persons and the maximum amount of money to be handled for all persons in any month.
- (d) No licensee shall either handle money of a resident or handle amounts greater than those stated in the affidavit submitted by him or for which his bond is on file without first notifying the licensing agency and filing a new or revised bond as required by the licensing agency.
- (e) A written request for a variance from the bonding requirement may be made to the licensing agency. Approval by the licensing agency of a variance shall be in writing. The request shall include a signed statement from the licensee indicating:
- (1) That the bonding requirement is so onerous that as a result the facility will cease to operate.
 - (2) The place of deposit in which the resident's funds are to be held.
 - (3) That withdrawals will be made only on the authorization of the resident or his responsible person.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569.1, 1569.15, 1569.30, 1569.31, 1569.312, 1569.60 and 1569.61, Health and Safety Code.

**87227 SAFEGUARDS FOR CASH RESOURCES, PERSONAL PROPERTY,
AND VALUABLES OF RESIDENTS****87227**

- (a) A licensee shall not be required to handle residents' cash resources. However, if a resident incapable of handling his own cash resources, as documented by the initial or subsequent appraisal, is accepted for care, his cash resource shall be safeguarded in accordance with the regulations in this section.
- (b) Every facility shall take appropriate measures to safeguard residents' cash resources, personal property and valuables which have been entrusted to the licensee or facility staff. The licensee shall give the residents receipts for all such articles or cash resources.
- (c) Every facility shall account for any cash resources entrusted to the care or control of the licensee or facility staff.
 - (1) Cash resources include but are not limited to monetary gifts, tax credits and/or refunds, earnings from employment or workshops, and personal and incidental need allowances from funding sources such as SSI/SSP.
- (d) Except as provided in approved continuing care agreements, no licensee or employee of a facility shall:
 - (1) accept appointment as a guardian or conservator of the person and/or estate of any resident;
 - (2) accept any general or special power of attorney for any such person;
 - (3) become substitute payee for any payments made to any persons;
 - (A) This requirement does not apply to a licensee who is appointed by the Social Security Administration as representative payee for the resident.
 - (4) become the joint tenant on any account specified in Section 87227(h) with a resident.
- (e) Cash resources and valuables of residents which are handled by the licensee for safekeeping shall not be commingled with or used as the facility funds or petty cash, and shall be separate, intact and free from any liability the licensee incurs in the use of his own or the facility's funds and valuables. This does not prohibit the licensee from providing advances or loans to residents from facility money.

**87227 SAFEGUARDS FOR CASH RESOURCES, PERSONAL PROPERTY,
AND VALUABLES OF RESIDENTS (Continued)****87227**

- (f) No licensee or employee of a facility shall make expenditures from residents' cash resources for any basic service specified in this Chapter, or for any basic services identified in a contract/admission agreement between the resident and facility.
- (1) This requirement does not apply to a licensee who is appointed by the Social Security Administration as representative payee for the resident.
- (g) Each licensee shall maintain adequate safeguards and accurate records of cash resources and valuables entrusted to his care, including, but not limited to the following:
- (1) Records of residents' cash resources maintained as a drawing account shall include a ledger accounting (columns for income, disbursements and balance) for each resident, and supporting receipts filed in chronological order. Each accounting shall be kept current.
- (A) An acceptable receipt where cash is provided to residents from their respective accounts, includes: the resident's signature or mark, or responsible party's full signature, and a statement acknowledging receipt of the amount and date received. An acceptable form of receipt would include:
- "(full signature of resident) accepts (dollar amount) (amount written in cursive), this date (date), from (payor)".
- (B) An acceptable receipt where purchases are made for the resident, from his account, is the store receipt.
- (2) Records of residents' cash resources and other valuables entrusted to the licensee for safekeeping shall include a copy of the receipt furnished to the resident as specified in (b) above or to his responsible person. The receipt provided to the resident for money or valuables entrusted to the licensee shall be original and include the resident's and/or his responsible person's signature.
- (3) Bank records for transactions of cash resources deposited in and drawn from the account as specified in (h) below.

**87227 SAFEGUARDS FOR CASH RESOURCES, PERSONAL PROPERTY,
AND VALUABLES OF RESIDENTS (Continued)****87227**

- (h) Immediately upon admission, residents' cash resources entrusted to the licensee and not kept in the licensed facility shall be deposited in any type of bank, savings and loan or credit union account, which is maintained separate from the personal or business accounts of the licensee, provided that the account title clearly notes that it is residents' money and the resident has access to the money upon demand to the licensee.
 - (1) Such accounts shall be maintained in a local bank, savings and loan or credit union authorized to do business in California, the deposits of which are insured by a branch of the Federal Government; except, however that a local public agency may deposit such funds with the public treasurer.
 - (2) Cash resources entrusted to the licensee for residents and kept on the facility premises shall be kept in a locked and secure location.
- (i) Upon discharge of a resident, all cash resources, personal property and valuables of that resident which have been entrusted to the licensee shall be surrendered to the resident, or his responsible person. A signed receipt shall be obtained.
- (j) Upon the death of a resident, all cash resources, personal property, and valuables of that resident shall immediately be safeguarded.
 - (1) All cash resources shall be placed in an account as specified in (g) above.
 - (2) The executor or the administrator of the estate shall be notified by the licensee, and the cash resources, personal property, and valuables surrendered to said party.
 - (3) If no executor or administrator has been appointed, the responsible person shall be notified, and the cash resources, personal property, and valuables shall be surrendered to said person in exchange for a signed itemized receipt.
 - (4) If the licensee is unable to notify a responsible party as specified above, immediate written notice of the resident's death shall be given to the public administrator of the county as provided by Section 1145 of the California Probate Code.
- (k) Whenever there is a change of licensee, the licensee shall:
 - (1) notify the licensing agency of any pending change of licensee, and

**87227 SAFEGUARDS FOR CASH RESOURCES, PERSONAL PROPERTY,
AND VALUABLES OF RESIDENTS (Continued) 87227**

- (2) shall provide the licensing agency an accounting of all residents' cash resources, personal property and valuables entrusted to his/her care. Such accounting shall be made on a form provided or approved by the Department.
- (l) When the licensing agency approves the application for the new licensee, the form specified in (2) above shall be updated, signed by both parties, and forwarded to the licensing agency.
- (m) All monetary gifts, and any gift exceeding an estimated value of \$100, which are given to a licensee by or on behalf of a resident shall be recorded. The record shall be attached to the account specified in (f) above. This shall not include monetary gifts or valuables given by the friends or relatives of a deceased resident.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569.1, 1569.15, 1569.30, 1569.31, 1569.60 and 1569.61, Health and Safety Code; Section 11006.9, Welfare and Institutions Code; and 20 CFR 416.601.

87228 APPLICATION REVIEW 87228

- (a) No initial license shall be issued until the licensing agency has completed the following:
 - (1) A review which includes an on-site survey of the proposed premises and a determination of the qualifications of the applicant.
 - (2) A determination that the applicant has secured a fire clearance from the State Fire Marshal.
 - (3) A determination that the applicant and facility comply with the provisions of Chapter 3 (commencing with Section 1569) of Division 2 of the Health and Safety Code, and the regulations in this chapter.

87228 APPLICATION REVIEW (Continued) 87228

- (b) The licensing agency shall cease review of any application as specified in Section 1569.16 of the Health and Safety Code.

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- (1) Health and Safety Code Section 1569.16 provides:

- (a) If an application for a license indicates, or the department determines during the application review process, that the applicant previously was issued a license under this chapter or under Chapter 1 (commencing with Section 1200), 2 (commencing with Section 1250), 3 (commencing with Section 1500), 3.4 (commencing with Section 1596.70), 3.5 (commencing with Section 1596.90), or 3.6 (commencing with Section 1597.30) and the prior license was revoked within the preceding two years, the department shall cease any further review of the application until two years shall have elapsed from the date of revocation. The cessation of review shall not constitute a denial of the application for purposes of Section 1569.22 or any other provision of law. All residential care facilities for the elderly are exempt from the health planning requirements contained in Part 1.5 (commencing with Section 437) of Division 1.
- (b) If an application for a license or special permit indicates, or the department determines during the application review process, that the applicant had previously applied for a license under any of the chapters listed in subdivision (a) and the application was denied within the last year, the department shall, except as provided in Section 1569.22, cease further review of the application until one year has elapsed from the date of the denial letter. In those circumstances where denials are appealed and upheld at an administrative hearing, review of the application shall cease for one year from the date of the decision and order being rendered by the department. The cessation of review shall not constitute a denial of the application.

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87228 APPLICATION REVIEW (Continued) 87228

- (2) "Application was denied within the last year" as specified in Health and Safety Code Section 1569.16(b) shall include initial or renewal applications.
- (3) If cessation of review occurs, the application shall be returned to the applicant. It shall be the responsibility of the applicant to request resumption of review as specified in Health and Safety Code Section 1569.16.
- (4) The application/renewal processing fee shall be non-refundable as specified in Section 87224(e).

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569.15, 1569.16, 1569.17, 1569.20, and 1569.205, Health and Safety Code.

87229 CAPACITY**87229**

- (a) A license shall be issued for a specific capacity which shall be the maximum number of residents which can be provided care at any given time. The capacity shall be exclusive of any members of the licensee's own family who reside at the facility. However, the licensing agency shall consider the presence of other family members or other persons who reside in the facility in determining capacity in order to ensure and promote proper living arrangements for both the licensee's family and the residents and to ensure the provision of adequate care and supervision for the residents.
- (b) The number of persons that the facility is licensed to admit shall be determined on the basis of the application review by the licensing agency which shall consider:
 - (1) Physical energy and skills of the licensee as it relates to their ability to meet the needs of the residents.
 - (2) Any other household members who may reside at the facility and their individual needs.
 - (3) Physical features of the facility, such as available living space, which are necessary in order to comply with regulations.
 - (4) Number of available staff to meet the care needs of the residents.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569.2, 1569.31 and 1569.312, Health and Safety Code.

87230 WITHDRAWAL OF APPLICATION 87230

- (a) The applicant may withdraw an application for an initial or renewal license. However, unless the licensing agency consents in writing to such withdrawal, the Department or licensing agency shall not be deprived of its authority to institute or continue a proceeding against the applicant for the denial of the license upon any ground provided by law or to enter an order denying the license upon any such ground.
- (b) The fee for processing the initial or renewal application shall be forfeited.

NOTE: Authority cited: Sections 1569.18 and 1530, Health and Safety Code. Reference: Sections 1569.18, 1569.20, 1569.22, 1569.30, 1569.50, 1569.51 and 1569.52, Health and Safety Code.

87231 PROVISIONAL LICENSE**87231**

- (a) The licensing agency may issue a provisional license to an applicant who has submitted a completed application for an initial license if the licensing agency determines that there are no life safety risks, that the facility is in substantial compliance, as defined in Section 87101s.(6), with applicable law and regulations, and an immediate need for licensure exists as defined in Section 87101i.(1).
- (b) The capacity of a provisional license shall be limited to the number of residents for whom immediate need has been established, or the capacity established for the specific facility, whichever is less.
- (c) A provisional license shall not be renewable and shall terminate on the date specified on the license, or upon denial of the application, whichever is earlier.
 - (1) A provisional license may be issued for a maximum of six (6) months when the licensing agency determines that full compliance with licensing regulations will be achieved within that time period.
 - (2) A provisional license may be issued for a maximum of twelve (12) months when the licensing agency determines, at the time of application, that more than six (6) months is required to achieve full compliance with licensing regulations due to circumstances beyond the control of the applicant.

87231 PROVISIONAL LICENSE (Continued)**87231**

- (d) If, during the provisional licensing period, the licensing agency discovers deficiencies which threaten the physical health, mental health, safety or welfare of the residents, the Department may exercise its discretion to institute administrative action or civil proceedings or to refer for criminal prosecution.
- (e) If the licensing agency determines after its review, specified in Section 87228, that the licensee does not meet the licensing requirements, the application shall be denied, as specified in Section 87340.
- (f) If the licensing agency denied the application for an initial license, the applicant may appeal the denial, as provided in Section 87340. Until the Director adopts a decision on the denial action, the facility shall be unlicensed.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569.15, 1569.17, 1569.18, 1569.20, 1569.21, 1569.22, 1569.23 and 1569.24, Health and Safety Code.

87233 TERM OF AN INITIAL OR RENEWAL LICENSE**87233**

- (a) Except as provided in Section 87231, an initial license shall expire one year from the date of issuance.
- (b) A renewal license may be issued for one year if the licensing agency determines that the licensee at the time of the renewal visit is in substantial compliance with applicable regulation and law.
- (c) A renewal license may be issued for two years if the licensing agency determines that the licensee at the time of the renewal visit is in compliance with applicable regulation and law.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Section 1569.19, Health and Safety Code.

87234 APPLICATION FOR RENEWAL OF LICENSE**87234**

An application for the renewal of a license shall be made on a form provided by the licensing agency and shall be filed with the licensing agency not less than thirty (30) days prior to the expiration date. Failure to make application for renewal within the prescribed time limit shall result in expiration of the license and the facility shall be unlicensed.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569.15 and 1569.19, Health and Safety Code.

87235 RESUBMISSION OF APPLICATION**87235**

(a) A new application shall be made whenever there is any change in conditions or limitations described on the current license, including, but not limited to:

- (1) Any change in the location of the facility.
- (2) Any change in the licensee.
- (3) Failure to file a renewal or to complete a new application within the required time limit.
- (4) Any increase in capacity.
 - (A) Minor capacity increases may be granted following an evaluation by the licensing agency without the need for resubmission of an application.
- (5) A corporate organizational change, including, but not limited to, change in structure, sale or transfer of the majority of stock, separating from a parent company, or merger with another company. The licensee shall notify the licensing agency of such organizational change within forty-eight (48) hours.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569.3, 1569.10, 1569.11, 1569.15 and 1569.19, Health and Safety Code.

87236

**CONDITIONS FOR FORFEITURE OF A RESIDENTIAL CARE
FACILITY FOR THE ELDERLY LICENSE**

87236

- (a) Conditions for forfeiture of a residential care facility for the elderly license shall be as specified in Section 1569.19 of the Health and Safety Code.

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- (1) Health and Safety Code Section 1569.19 reads in part:

A license shall be forfeited by operation of law prior to its expiration date when one of the following occurs:

- (a) The licensee sells or otherwise transfers the facility or facility property, except when change of ownership applies to transferring of stock when the facility is owned by a corporation, and when the transfer of stock does not constitute a majority change in ownership. The sale of a facility shall be subject to the requirements of this chapter.
- (b) The licensee surrenders the license to the department.
- (c) The licensee moves the facility from one location to another.
- (d) The licensee is convicted of an offense specified in Section 220, 243.4, or 264.1, or paragraph (1) of Section 273a, Section 273d, 288, or 289 of the Penal Code, or is convicted of another crime specified in subdivision (c) of Section 667.5 of the Penal Code.
- (e) The licensee dies. When a licensee dies, the continued operation shall be subject to the requirements of Section 1569.193.
- (f) The licensee abandons the facility.

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87236

**CONDITIONS FOR FORFEITURE OF A RESIDENTIAL CARE
FACILITY FOR THE ELDERLY LICENSE** (Continued)

87236

- (2) "Licensee abandons the facility" shall mean either of the following:
- (A) The licensee informs the licensing agency that the licensee no longer accepts responsibility for the facility, or
 - (B) The licensing agency is unable to determine the licensee's whereabouts after the following:
 - 1. The licensing agency requests information of the licensee's whereabouts from the facility's staff if any staff can be contacted; and
 - 2. The licensing agency has made at least one (1) phone call per day, to the licensee's last telephone number of record, for five (5) consecutive workdays with no response; and
 - 3. The licensing agency has sent a certified letter, requesting the licensee to contact the licensing agency, to the licensee's last mailing address of record with no response within seven (7) calendar days.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Section 1569.19, Health and Safety Code.

Article 4. Administrative Actions**87340 DENIAL OF INITIAL LICENSE****87340**

- (a) Except as specified in Section 87231(a), which provides that the applicant may be issued a provisional license based upon substantial compliance and immediate need, the licensing agency shall deny an application for an initial license if it is determined that the applicant is not in compliance with applicable law and regulations.
- (b) The licensing agency shall have the authority to deny an application for an initial license if the applicant has failed to pay any civil penalty assessments pursuant to Section 87457 and in accordance with a final judgment issued by a court of competent jurisdiction, unless payment arrangements acceptable to the licensing agency have been made.
- (c) The licensing agency shall have the authority to deny an initial application if the applicant does not comply with Sections 87218(a)(2) and (a)(9).
- (d) If the application for an initial license is denied, the application renewal processing fee shall be forfeited.
- (e) If the application for an initial license is denied, the licensing agency shall send a written notice of denial by certified mail. The notification shall inform the applicant of the denial; set forth the reasons for the denial; and advise the applicant of the right to appeal.
- (f) An applicant may appeal the denial of the application by sending a written notice of appeal to the licensing agency within 15 days of the postmark date of the denial notice.
- (g) The licensing agency shall, upon receipt of the notice of appeal, advise the applicant in writing of the appeal procedure.
- (h) The proceedings to review such denial shall be conducted pursuant to the provisions of Chapter 5 (commencing with Section 11500), Part 1, Division 3, Title 2 of the Government Code.

NOTE: Authority cited: Sections 1569.18 and 1569.30, Health and Safety Code. Reference: Sections 1569.1, 1569.15, 1569.17, 1569.18, 1569.20, 1569.21, 1569.22, 1569.23(a) and (e), 1569.30, 1569.485, 1569.49, 1569.51, 1569.52, and 1569.53, Health and Safety Code.

87341 DENIAL OF A RENEWAL LICENSE**87341**

- (a) The licensing agency shall deny an application for a renewal license when the licensee is not in substantial compliance, as defined in Section 87101s.(6), with applicable law or regulations at the time of the renewal visit.
- (b) The licensing agency shall deny the renewal application when failure to substantially comply with licensing requirements has resulted in the Department's action to suspend or revoke the license or to seek other remedies as provided by law.
- (c) The licensing agency shall deny the renewal application when the licensee refuses or has failed to pay the application/renewal processing fee as specified in Section 87224(b)(2).
- (d) After December 30, 1992, the licensing agency shall deny the renewal application if the facility administrator has not completed the approved certification program as specified in Section 87730, unless the administrator is exempt from these requirements as specified in Section 87564(a).
- (e) If the application for a renewal license is denied, the licensing agency shall send the licensee a written notice of denial by certified mail. The notification shall inform the licensee of the denial and set forth the reasons for denial.
- (f) If the application for a renewal license is denied, the application/renewal processing fee shall be forfeited.
- (g) The licensee may appeal the denial as provided in Section 1569.22 of the Health and Safety Code within fifteen (15) days after the certified mailing of the denial notice. Proceedings to review the denial shall be conducted pursuant to the provisions of Chapter 5 (commencing with Section 11500), Part 1, Division 3, Title 2 of the Government Code.

NOTE: Authority cited: Sections 1569.18 and 1569.30, Health and Safety Code. Reference: Sections 1569.15, 1569.18, 1569.19, 1569.20, 1569.22, 1569.23, 1569.30, 1569.50, 1569.51, 1569.52, and 1569.615(c), Health and Safety Code.

87342 REVOCATION OR SUSPENSION OF LICENSE**87342**

- (a) Pursuant to the provisions of Chapter 5, (commencing with Section 11500), Part 1, Division 3, Title 2, of the Government Code, the Department may suspend or revoke any license on any of the grounds stipulated in Health and Safety Code, Section 1569.50.

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- (1) Violation by the licensee of any of the statutory provisions of the California Residential Care Facilities for the Elderly Act or any of the rules and regulations promulgated by the Department under the Act.
- (2) Aiding, abetting or permitting the violation of any said statutory provisions or said rules and regulations of the Department.
- (3) Conduct in the operation and/or maintenance of a residential care facility for the elderly which is inimical to the health, morals, welfare or safety of either an individual in or receiving services from the facility or the people of the State of California.

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- (b) When the Director intends to seek revocation of a license, the Director shall notify the licensee of the proposed action and at the same time shall serve such person with an accusation. The licensee has a right to a hearing prior to the revocation or suspension of a license, except as provided in (c) below.
- (c) The Director may temporarily suspend any license prior to any hearing when in the Director's opinion such action is necessary to protect the residents in the facility from any physical or mental abuse or any other substantial threat to health and safety. When the Director intends to temporarily suspend a license prior to a hearing, the Director shall notify the licensee of the temporary suspension and the effective date thereof and at the same time serve the licensee with an accusation.

87342 REVOCATION OR SUSPENSION OF LICENSE (Continued)**87342**

- (d) For either a revocation action or a revocation and temporary suspension action, the Director shall within fifteen (15) days of receipt of notice of defense ask the Office of Administrative Hearings to set the matter for hearing.
- (e) For a revocation and temporary suspension action, the Director shall ask the Office of Administrative Hearings to hold the hearing as soon as possible but not later than thirty (30) days after receipt of the Notice of Defense.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569.50, 1569.51, 1569.52, and 1569.53, Health and Safety Code.

87342.1 RELOCATION OF RESIDENT - GENERAL**87342.1**

- (a) When a resident must be relocated by Department order whether individual health-condition relocations pursuant to Section 87701.1 or temporary suspension orders pursuant to Section 87342(c), the licensee shall not obstruct the relocation process and shall cooperate with the Department in the relocation process. Such cooperation shall include, but not be limited to, the following activities:
 - (1) Identifying and preparing for removal of the medications, Medi-Cal or Medicare or other medical insurance documents, clothing, safeguarded cash resources, valuables and other belongings of the resident.
 - (2) Contacting the person responsible for the resident to assist in transporting him or her, if necessary.
 - (3) Contacting other suitable facilities for placement, if necessary.
 - (4) Providing access to resident's files when required by the Department.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569, 1569.1, 1569.2, 1569.30, 1569.31, 1569.312 and 1569.54, Health and Safety Code.

87343 LICENSE COMPLAINTS**87343**

- (a) Each licensee shall have the right, without prejudice, to bring to the attention of the Department or the licensing agency, or both, any alleged misapplication or capricious enforcement of regulations by any licensing representative, or any substantial differences in opinion as may occur between the licensee and any licensing representative concerning the proper application of the Residential Care Facilities for the Elderly Act or of these regulations.
- (b) Where applicable, a review of the complaint shall be conducted in accordance with Section 87455.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569.30 and 1569.335, Health and Safety Code.

87344 INSPECTION AUTHORITY**87344**

- (a) Any duly authorized officer, employee or agent of the Department may, upon proper identification and upon stating the purpose of his/her visit, enter and inspect the entire premise of any place providing services at any time, with or without advance notice.
- (b) Provisions shall be made for private interviews with any person receiving services or any staff member and for examination of all records relating to the operation of the facility.
- (c) The Department shall have the inspection authority as specified in Health and Safety Code Section 1569.24.

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- (1) Health and Safety Code Section 1569.24 provides in part:

Within 90 days of initial licensure, the Department shall inspect the facility to evaluate compliance with rules and regulations and to assess the facility's continuing ability to meet regulatory requirements.

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NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569.24, 1569.33, 1569.34, and 1569.35, Health and Safety Code.

87345 EVALUATION VISIT**87345**

- (a) Each community care facility shall be evaluated at least once annually.
- (b) Any number of other visits may be made to a facility for various purposes as determined necessary by the Department or licensing agency to determine compliance with regulations and applicable standards.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 14569.11, 1569.24, 1569.32, 1569.33, 1569.34, and 1569.35, Health and Safety Code.

Article 5. Enforcement Provisions**87451 SERIOUS DEFICIENCIES - EXAMPLES****87451**

- (a) Regulations including but not limited to the following may result in serious deficiencies when a failure to comply presents an immediate or substantial threat to the physical health, mental health, or safety of the residents:
- (1) Section 87219 relating to criminal record clearance.
 - (2) Section 87220 relating to fire clearance.
 - (3) Section 87110 relating to limitations on the number or types of facility residents.
 - (4) Section 87573 relating to telephone service.
 - (5) Sections 87582(c)(1) or (2), or (5), or Section 87701 relating to persons with communicable diseases, persons requiring inpatient health care, persons who are bedridden, or persons with a prohibited health condition.
 - (6) Section 87110(b) relating to nonambulatory residents.
 - (7) Section 87572(a)(3) relating to resident rights.
 - (8) Section 87578(a) relating to restraints.
 - (9) Sections 87577(d)(3) through (7) or (e) relating to safety of resident accommodations.
 - (10) Sections 87576(b)(24), (25), or (27) relating to storage, preparation and service of food.
 - (11) Section 87575(b)(3) relating to medical and dental care of residents.
 - (12) Section 87575(c) relating to storing and dispensing medications.
 - (13) Section 87691(e)(2) relating to hot water temperature.

87451 SERIOUS DEFICIENCIES - EXAMPLES
(Continued)**87451**

- (14) Sections 87691(e)(4), (5), or (6) relating to toilet, handwashing and bathing accommodations.
- (15) Sections 87691(f)(1) or (2) relating to storage and disposal of solid wastes, syringes and needles.
- (16) Section 87581 relating to night supervision.
- (17) Section 87701.5 relating to licensees forwarding to the Department a resident's request for review by an interdisciplinary team of a health condition relocation order.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569.1, 1569.2, 1569.30, 1569.31, 1569.312, 1569.315, 1569.335, 1569.485, 1569.49, and 1569.54, Health and Safety Code.

87452 DEFICIENCIES IN COMPLIANCE

87452

- (a) When a routine visit, evaluation or investigation of a complaint is conducted and the evaluator determines that a deficiency exists, the evaluator shall issue a notice of deficiency, unless the deficiency is minor and corrected during the visit.
- (b) Prior to completion of a visit, evaluation or investigation, the evaluator shall meet with the licensee, administrator, operator, or other person in charge of the facility to discuss any deficiencies noted. At the meeting, a plan for correcting each deficiency shall be developed and included in the notice of deficiency. Prior to completion of the visit the evaluator shall serve the notice of deficiency on the licensee by either:
 - (1) Personal delivery to the licensee, or
 - (2) If the licensee is not at the facility site, leaving the notice with the person in charge of the facility and also mailing a copy to the licensee.
 - (3) If the licensee or the person in charge of the facility refuses to accept the notice, a notation of the refusal shall be written on the notice and a copy left at the facility.
 - (A) Under such circumstances, a copy of the notice shall also be mailed to the licensee.
- (c) The notice of deficiency shall be in writing and shall include:
 - (1) A reference to the statute or regulation upon which the deficiency is premised.
 - (2) A factual description of the nature of the deficiency fully stating the manner in which the licensee failed to comply with specified statute or regulation, and the particular place or area of the facility in which it occurred.
 - (3) The plan developed, as specified in (b) above, for correcting each deficiency.
 - (4) A date by which each deficiency shall be corrected.
 - (A) In prescribing the date for correcting a deficiency, the evaluator shall consider the following factors:
 - 1. The seriousness of the deficiency.

87452 DEFICIENCIES IN COMPLIANCE (Continued)**87452**

2. The number of residents affected.
 3. The availability of equipment or personnel necessary to correct the deficiency.
 4. The estimated time necessary for delivery and any installation of necessary equipment.
- (B) The evaluator shall require correction of the deficiency within 24 hours and shall specify on the notice the date by which the correction must be made whenever penalties are assessed pursuant to Sections 87454(c), (d) and (e).
- (C) The date for correcting a deficiency shall not be more than 30 calendar days following service of the notice of deficiency, unless the evaluator determines that the deficiency cannot be completely corrected in 30 calendar days. If the date for correcting the deficiency is more than 30 days following service of the notice of deficiency the notice shall specify action which must be taken within 30 calendar days to begin correction.
- (5) The amount of penalty which shall be assessed and the date the penalty shall begin if the deficiency is not corrected by the specific due date.
- (6) The address and telephone number of the licensing office responsible for reviewing notices of deficiencies for the area in which the facility is located.

NOTE: Authority cited: Section 1569.30 and 1569.49, Health and Safety Code. Reference: Sections 1569.30, 1569.31, 1569.312, 1569.315, 1569.335, 1569.485, 1569.49 and 1589.49, Health and Safety Code.

87453 FOLLOW-UP VISITS TO DETERMINE COMPLIANCE**87453**

- (a) A follow-up visit shall be conducted within 10 working days following the latest date of correction specified in the notice of deficiency, unless the licensee has demonstrated that the deficiency was corrected as required in the notice of deficiency. No penalty shall be assessed unless a follow-up visit is conducted.
- (b) If a follow-up visit indicates that a deficiency was not corrected on or before the date specified in the notice of deficiency, the evaluator shall issue a notice of penalty.

87453 FOLLOW-UP VISITS TO DETERMINE COMPLIANCE (Continued)**87453**

- (c) A notice of penalty shall be in writing and shall include:
- (1) The amount of penalty assessed, and the date the payment is due.
 - (2) The name and address of the agency responsible for collection of the penalty.
- (d) When an immediate penalty has been assessed pursuant to Sections 87454(c), (d), (e) and (f) and correction is made when the evaluator is present, a follow-up visit is not required.

NOTE: Authority cited: Section 1569.30 and 1569.49, Health and Safety Code. Reference: Sections 1569.33, 1569.335, 1569.35, 1569.485, and 1569.49, Health and Safety Code.

87454 PENALTIES**87454**

- (a) A penalty of \$25 per day shall be assessed for all deficiencies, other than serious deficiencies, that are not corrected by the date specified in the notice of deficiency.
- (b) A penalty of \$50 per day shall be assessed for all serious deficiencies that are not corrected by the date specified in the notice of deficiency.
- (c) Notwithstanding (a) and (b) above, an immediate penalty of \$150 per day shall be assessed for the following:
- (1) Sickness, injury or death of a client has occurred as a result of the deficiency.
- (d) When a facility is cited for a deficiency and repeats the same violation within a 12-month period, an immediate penalty of \$150 and \$50 per day thereafter shall be assessed until the deficiency is corrected.
- (e) A deficiency subject to the immediate penalty assessment specified in Section 87454(d) above which is repeated within a 12-month period of the initial deficiency citation shall be cited and assessed an immediate penalty of \$1,000 and \$100 per day thereafter until the deficiency is corrected.
- (f) If any deficiency is not corrected by the date specified in the notice of deficiency, a penalty shall be assessed for each day following that date until compliance has been demonstrated.
- (1) Immediate penalty assessments as specified in (c), (d) and (e) above shall begin on the day the deficiency is cited.

87454 PENALTIES (Continued)**87454**

- (g) If a licensee or his/her representative reports to the licensing agency that a deficiency has been corrected, the penalty shall cease as of the day the licensing agency receives notification that the correction was made.
 - (1) If the deficiency has not been corrected, civil penalties shall continue to accrue.
 - (2) If it can be verified that the correction was made prior to the date of notification, the penalty shall cease as of that earlier date.
- (h) If necessary, a site visit shall be made immediately or within five working days to confirm that the deficiency has been corrected.
- (i) If an immediate civil penalty is assessed and the deficiency is corrected on the same day, the penalty shall still be assessed for that day.
- (j) All penalties shall be made payable to the agency indicated in the notice of penalty. Payments shall be made by check or money order and are due and payable upon receipt of notice from the licensing agency.
- (k) The licensing agency shall have the authority to file a claim in a court of competent jurisdiction or to take other appropriate action for failure to pay penalties as specified in (j) above.

NOTE: Authority cited: Section 1569.30 and 1569.49, Health and Safety Code. Reference: Sections 1569.33, 1569.335, 1569.35, 1569.485, and 1569.49, Health and Safety Code.

87455 ADMINISTRATIVE REVIEW - GENERAL**87455**

- (a) A licensee or his/her representative may request in writing a review of a notice of deficiency, notice of penalty and/or health condition relocation order within 10 working days of receipt of the notice or order. This review shall be conducted by a higher level staff person other than the evaluator who issued the notice of deficiency, notice of penalty, and/or health condition relocation order.
- (1) Additional review requirements pertaining to Incidental Medical Services are specified in Section 87720.
- (b) If the reviewer determines that a notice of deficiency or notice of penalty was not issued in accordance with applicable statutes and regulations of the Department, he/she shall amend or dismiss the notice. In addition, the reviewer may extend the date specified for correction of a deficiency if warranted by the facts or circumstances presented to support a request for extension.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569.30, 1569.33, 1569.335, 1569.35, 1569.485, 1569.49, and 1569.54, Health and Safety Code.

87457 UNLICENSED FACILITY PENALTIES**87457**

- (a) A penalty of \$100 per day per resident shall be assessed for the operation of an unlicensed facility under either of the following conditions:
- (1) The operator has not submitted a completed application for licensure within 15 calendar days of issuance of the Notice of Operation in Violation of Law pursuant to Section 87016.
 - (A) For purposes of this section, an application shall be deemed completed if it includes the information required in Section 87218.
 - (B) The completed application shall be deemed to be submitted when received by the licensing agency.
 - (2) Unlicensed operation continues after denial of the initial application.
 - (A) Notwithstanding any appeal action, facility operation must cease within 10 calendar days of the mailing of the notice of denial or upon receipt of the denial notice by the operator, whichever occurs first.
- (b) A \$200 per day per resident penalty shall be assessed for the continued operation of an unlicensed facility as follows:
- (1) On the 16th calendar day after the operator has been issued the Notice of Operation in Violation of Law, and has not submitted a completed application as required.
 - (A) The \$200 per day per resident penalty shall continue until the operator ceases operation, or submits a completed application pursuant to Sections 87457(a)(1)(A) and (B).
 - (2) Within 10 calendar days of the mailing of the notice of denial or upon receipt of the denial notice by the operator, whichever occurs first.

87457 UNLICENSED FACILITY PENALTIES (Continued)**87457**

- (A) The \$200 per day per resident penalty shall continue until the operator ceases operation.
- (c) If the unlicensed operator or his/her representative reports to the licensing agency that unlicensed operation, as defined in Section 1569.44 of the Health and Safety Code, has ceased, the penalty shall cease as of the day the licensing agency receives the notification.
- (1) A site visit shall be made immediately or within five working days to verify that the unlicensed facility operation has ceased.
- (2) Notwithstanding (c) above, if the unlicensed facility operation has not ceased, penalties shall continue to accrue without interruption from the date of initial penalty assessment.
- (d) All penalties shall be due and payable upon receipt of the Notice of Payment from the licensing agency, and shall be paid by check or money order made payable to the agency indicated in the notice.
- (e) The licensing agency shall have the authority to file a claim in a court of competent jurisdiction or to take other appropriate action for failure to pay penalties as specified in (d) above.

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- (f) Payment of civil penalties or application for licensure in response to a citation under this section do not permit the operation of a residential facility for the elderly without a license.
- (1) Section 1569.10 of the Health and Safety Code provides in part:

No person, firm, partnership, association, or corporation within the state and no state or local public agency shall operate, establish, manage, conduct or maintain a residential facility for the elderly in this state, without first obtaining and maintaining a valid license therefor as provided in this Chapter.

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NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569.3, 1569.10, 1569.11, 1569.14, 1569.145, 1569.15, 1569.19, 1569.20, 1569.21, 1569.22, 1569.312, 1569.35, 1569.44, 1569.45, 1569.485, and 1569.495, Health and Safety Code.

87458 UNLICENSED FACILITY ADMINISTRATIVE APPEAL**87458**

- (a) An unlicensed operator or his/her representative shall have the right to appeal the penalty assessment within 10 working days after service of the penalty assessment.
 - (1) If the unlicensed facility operation has not ceased, the \$200 per day penalty shall continue to accrue during the appeal process.
- (b) The appeal review shall be conducted by a higher level staff person than the evaluator who issued the penalty.
- (c) If the reviewer of the appeal determines that the penalty assessment was not issued in accordance with applicable statutes and regulations of the Department, he/she shall have the authority to amend or dismiss the penalty assessment.

NOTE: Authority cited: Section 1569.30, Health and Safety Code. Reference: Sections 1569.10, 1569.44, 1569.45, and 1569.485, Health and Safety Code.